



GOVERNOR'S OFFICE OF EMERGENCY SERVICES

LAW ENFORCEMENT AND VICTIM SERVICES DIVISION

3650 SCHRIEVER AVENUE
MATHER, CALIFORNIA 95655
(916) 322-0217
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TO: All Eligible Applicants

**SUBJECT: Paul Coverdell Forensic Sciences Improvement (FSIA) Program
Request For Application**

The Governor's Office of Emergency Services (OES), Law Enforcement and Victim Services Division is pleased to announce the release of the Request for Application (RFA) for the Coverdell Forensic Science Improvement Act, henceforth referred to as the Coverdell 2007 Program. The purpose of the Coverdell 2007 Program is to improve the quality and timeliness of forensic science services over current operations.

Only the California forensic science laboratories identified on the RFA, Part I, page two, are eligible to apply for funding under this RFA. All Coverdell grant recipients must provide proof of American Society of Crime Laboratory Directors (ASCLD) accreditation or for those who have applied for accreditation, documentation of application and/or status by the ASCLD. If you are unsure if you meet this mandatory criterion, please contact the Program Specialist listed at the conclusion of this letter.

There is a total of \$1,163,086 available for this program. The chart found on page two of this RFA outlines the non-competitive funding levels available for distribution during the period of January 1, 2008 to December 31, 2008.

Please closely review the enclosed RFA. The due date for the Application is **Friday, January 11, 2008**. The application should be addressed to:

**Governor's Office of Emergency Services
Law Enforcement and Victim Services Division
3650 Schriever Way
Mather, CA 95655
Attn: Coverdell 2007 Program RFA – Crime Suppression Section**

Should you have questions, please contact Sharon McFarland, Criminal Justice Program Specialist at (916) 322-0217, or via email: sharon.mcfarland@oes.ca.gov.

Sincerely,

Kirby Everhart, Chief
Crime & Gangs Branch

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**PAUL COVERDELL FORENSIC SCIENCES IMPROVEMENT GRANTS PROGRAM (FSIA)
REQUEST FOR APPLICATION**

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- IV. **FORMS** –Click on one of the form links below to access the form. Save the form to your hard drive before you attempt to fill it out. To access the complete list of forms on our website, click on (**FORMS**), **or** go to www.oes.ca.gov and select “Forms”, **or** paste the following link into your browser: **www.oes.ca.gov/Operational/OESHome.nsf/CJPDHome?OpenForm**

[APPLICATION CHECKLIST AND REQUIRED SEQUENCE](#)

[APPLICATION COVER SHEET](#)

[GRANT AWARD FACE SHEET AND INSTRUCTIONS](#)

[PROJECT CONTACT INSTRUCTIONS AND INFORMATION](#)

[CERTIFICATION OF ASSURANCE OF COMPLIANCE – Paul Coverdell](#)

[SIGNATURE AUTHORIZATION AND INSTRUCTIONS](#)

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[BUDGET FORMS \(Excel spreadsheet format\) – b. Without Match](#)

[Personal Services – Salaries/Employee Benefits](#)

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GOVERNOR'S OFFICE OF EMERGENCY SERVICES
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION

COVERDELL FORENSIC SCIENCES IMPROVEMENT (FSIA) PROGRAM
REQUEST FOR APPLICATION

PART I – INFORMATION

A. INTRODUCTION

This Request for Application (RFA) provides the information and forms necessary to prepare an application for the Governor's Office of Emergency Services (OES) grant funds. The terms and conditions described in this RFA supersede previous RFAs and conflicting provisions stated in the *Recipient Handbook*. The *Recipient Handbook* provides helpful information for developing the application and can be accessed at the website www.oes.ca.gov by selecting "Recipient Handbooks."

B. CONTACT INFORMATION

Questions concerning this RFA, the application process, or programmatic issues should be submitted to the below contact person by telephone, fax, or e-mail.

Sharon McFarland
Criminal Justice Specialist
(916) 322-0217
FAX: (916) 323-1756
EMAIL sharon.mcfarland@oes.ca.gov

C. APPLICATION DUE DATE AND SUBMISSION OPTIONS

One original and one copy of the application must be delivered to OES' Law Enforcement and Victim Services Division by the date and time indicated below. Submission options are:

1. Regular and Overnight mail, **postmarked by Friday, January 11, 2008** to:

Governor's Office of Emergency Services
Law Enforcement and Victim Services Division
3650 Schriever Avenue
Mather, CA 95655
Attn: Coverdell 2007 Program RFA - Crime Suppression Section

2. Hand delivered by **5:00 p.m. on Friday, January 11, 2008** to:

Governor's Office of Emergency Services
Law Enforcement and Victim Services Division
3650 Schriever Avenue
Mather, CA 95655
Attn: Coverdell 2007 Program RFA - Crime Suppression Section

D. ELIGIBILITY

Eligibility is restricted to those projects currently receiving funds through OES for the Coverdell Forensic Sciences Improvement Program, as identified below. Eligibility to receive Coverdell funding is contingent upon verification of accreditation by the American Society of Crime Laboratory Directors (ASCLD).

The Federal government is implementing a new eligibility requirement for laboratory systems receiving grant funds. Grant recipients must certify to these requirements by 1) utilizing the sample operational agreement, and 2) by developing an internal agreement that certifies to the requirements outlined in the Certification of Assurances section.

E. FUNDS

Funding for the Coverdell National Forensic Sciences Improvement Act (NFSIA), henceforth referred to as the Coverdell 2007 Program, comes through OES from the National Institute of Justice (NIJ), a component of the Office of Justice Programs (OJP), United States Department of Justice. The funding cycle for this program is for a 12-month period beginning on January 1, 2008 and ending December 31, 2008.

In accordance with the NFSIA guidelines, and recommendations from the California Association of Crime Laboratory Directors (CACLD), funding for the Coverdell 2007 Program is based on the number of full-time (FT) forensic scientists reported from each qualifying crime laboratory.

The following chart outlines the non-competitive funding levels available for distribution during the fiscal year 2007/2008.

<i>Crime Laboratory</i>	<i># of FT Forensic Scientists</i>	<i>Anticipated Grant Award</i>
El Cajon Police Department	6	\$6,215
Long Beach Police Department	16	\$14,915
Oakland Police Department	23	\$21,130
Alameda County Sheriff Department	25	\$23,616
San Mateo County Sheriff Department	26	\$24,859
Kern County District Attorney	33	\$31,073
Ventura County Sheriff Department	39	\$36,045
Sacramento County District Attorney	43	\$39,774
Contra Costa County Sheriff Department	48	\$44,746
Santa Clara County District Attorney	48	\$44,746
San Diego Police Department	54	\$50,960
San Diego County Sheriff Department	63	\$58,418
San Francisco Police Department	64	\$59,661
San Bernardino County Sheriff Department	71	\$65,876
Los Angeles Police Department	121	\$113,107
Orange County Sheriff-Coroner Department	123	\$115,593
Los Angeles County Sheriff Department	182	\$170,282
DOJ/BFS	345	\$321,919
18 Total Labs	1,330	\$1,242,935

There is no match requirement for these funds.

F. PROGRAM INFORMATION

The goal of the Coverdell 2007 Program is to improve the quality, timeliness, and credibility of forensic science services over current operations. This program permits funding for crime laboratories expenses related to on going educational and/or training and development needs of forensic scientists, preventing and reducing the backlog of forensic cases, and for equipment needs.

These funds are provided to enhance and facilitate the improvement of forensic services. This includes ensuring that forensic scientists receive training and enhance the service levels within their respective laboratories. Therefore, it is required that each forensic laboratory served by this program either be accredited or have applied for accreditation through the American Society of Crime Laboratory Directors (ASCLD).

1. Program Requirements

In accordance with federal requirements projects implementing this program must:

- a. Submit an application with a detailed budget proposal utilizing Coverdell 2007 funds;
- b. Employ the practices and procedures as established by the ASCLD Laboratory Accreditation Board (LAB);
- c. Maintain detailed source documentation reflecting the amount of funds received and expended;
- d. Compile and report statistical data regarding numbers of laboratory requests, types of cases received, and service turnaround times when requested;
- e. Maintain a readily identifiable inventory of all equipment purchased wholly or in part, with grant funds.
- f. Maintain detailed source documentation that identifies staff working overtime, hours worked, amount of overtime, and hourly rate of overtime.
- g. Coverdell grant recipients must certify with respect to any forensic laboratory system receiving any portion of the grant that a government entity and an appropriate written process is in place to conduct independent external investigations into allegations of serious negligence or misconduct by employees or contractors substantially affecting the integrity of forensic results.

2. Administrative Requirements

a. *Recipient Handbook*

The *Recipient Handbook* contains administrative information and requirements necessary to implement this program. Recipients must administer grants in accordance with the handbook requirements in effect at the time of the grant award agreement. Special attention should be given to, Section 2236.11, Out-of-State Travel, Section 2236.4, Travel Claims, Section 2171.61 Overtime, and Section 2300, Equipment.

- b. Coverdell 2007 Program Guidance, including any supplemental documentation.

The Coverdell 2007 Program Guidance contains program specific information to be used as a guide in the implementation and reporting requirements of the applicant's project. Coverdell 2007 Grant Recipients who do not have a copy of the Coverdell 2007 Guidance can request one from their OES program specialist.

- c. Progress Reports and Data Collection.

Funded Coverdell 2007 projects are required to participate in data collection and to submit reports when deemed necessary. A 90-day status report detailing the activities during the implementation period is required for this project. Additionally, all Coverdell 2007 projects will submit a six-month and a final 12-month Progress Report. Progress reports are due 30 days after the end of each reporting period.

3. Source Documentation

In accordance with federal requirements Coverdell 2007 projects must provide information and data relative to applicant's pre-grant and post-grant forensic science capabilities.

Based upon the number and types of cases accepted by the laboratory, projects must collect and report data relevant to 1) change in the average number of days between submission of lab requests and the delivery back to the requesting agency, 2) the number of backlogged forensic cases analyzed with FY 2007 Coverdell funds, if applicable, and 3) the number of forensic science personnel who have completed appropriate training or educational opportunities with 2007 funds.

The applicant, when approved for funding, is required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities, achievements, line item detailed expenditures, and laboratory service turnaround times.

Information includes, but is not limited to the following:

- Providing documentation of a continual education/training for qualifying forensic scientists with records of travel reimbursement, and expenses for training see Section 2236 of the *Recipient Handbook*,
- Providing information relevant to the project's ASCLD accreditation status,
- Providing data relevant to the number and types of cases used for criminal justice purposes (pre and post-grant), including the change in the average number of days between submission (turnaround time) of a request and the delivery back to the requesting agency and;
- Providing data relevant to the number of backlogged forensic cases analyzed, if applicable.
- Provide functional time reporting data for overtime purposes.

G. PREPARING AN APPLICATION

Part IV - Forms includes a link to an Application Cover Sheet. Please complete the Application Cover Sheet and attach it to the front of the application.

Please provide the nine (9) required application components in the order listed below:

- Application Cover Sheet;
- Grant Award Face Sheet (OES A301);
- Project Contact Information;
- Certification of Assurance of Compliance – Paul Coverdell;
- Signature Authorization and Instructions;
- Project Narrative;
- Budget Narrative and the Project Budget (OES A303a-c);
- Project Service Information; and
- Application Appendix (refer to Part II, C.).

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**PAUL COVERDELL FORENSIC SCIENCES IMPROVEMENT GRANTS PROGRAM (FSIA)
REQUEST FOR APPLICATION**

PART II – INSTRUCTIONS

The instructions in this section correspond to each of the application components and to the forms required to complete the application.

The applicant must use the forms provided in “Forms” ([FORMS](#)) and plain 8½” x 11” white paper for the application. The blank Project and Budget Narrative pages on the website have been pre-formatted to OES standards. If you create your own computer-generated Project and Budget pages, the format must duplicate the OES pre-formatted pages.

Copies of the application must be assembled separately and individually fastened in the upper left corner. ***Do not bind application.***

A. PROJECT NARRATIVE

The project narrative is the main body of information describing the problem to be addressed, the plan to address the problem through appropriate and achievable objectives and activities, and the ability of the applicant to implement the plan.

Applicants should remember that the project narrative should support the goal of the Coverdell '05 Program, which is to improve the quality, timeliness, and credibility of forensic science service over current operations

1. Problem Statement

The purpose of the Problem Statement is to persuasively illustrate the applicant's need. Utilize the California State Auditor's Report of December 1998, *Forensic Laboratories: Many Face Challenges Beyond Accreditation to Assure the Highest Quality Services*. You may obtain a copy of this report by contacting the California State Auditor, Bureau of State Audits, 555 Capitol Mall, Suite 300, Sacramento, California 95814, (916) 445-0255, or by accessing it on line at www.bsa.ca.gov.

2. Plan and Implementation

Plan: This section of the application should describe and demonstrate the project's Plan to improving the quality, timeliness, and credibility of forensic sciences services. Applicants should thoroughly describe how this grant award (intended for training/ educational, backlog and equipment purposes) would enable them to improve the quality, timeliness, and credibility of forensic science services. Please provide information and data relative to the laboratory's current forensics capabilities. This should include the types and numbers of cases used for criminal justice purposes. Applicants should also include information relative to the number of qualifying forensic scientists planning to attend training/educational courses, number or estimate of backlogged cases, and equipment needs during the proposed grant period.

Implementation: Agencies awarded funds under the Coverdell 2007 Program must be ASCLD accredited or have applied for ASCLD accreditation. If your agency is seeking ASCLD accreditation and you would like to be considered for funding under the Coverdell 2007 Program, you must submit proof of ASCLD application and current status in your OES application. If your agency is ASCLD accredited, please provide a copy of your certification with your OES application.

Eligibility Requirement Certification (pursuant to the Justice for All Act of 2004, Pub.L.No.108-405, § 311(b) (codified at 42 U.S.C. §3797k).

Coverdell grant recipients must certify with respect to any forensic laboratory system receiving any portion of the grant that a government entity exists and an appropriate written process is in place to conduct independent external investigations into allegations of serious negligence or misconduct by employees or contractors substantially affecting the integrity of forensic results.

By signing the Certification of Assurance of Compliance – Paul Coverdell, you verify that you are in compliance with this statute.

B. PROJECT BUDGET

The purpose of the project budget is to demonstrate how the applicant will implement the proposed plan with the funds available through this program. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include **only** those items covered by grant funds, including match funds when applicable. The applicant may supplement grant funds with funds from other sources. However, since approved line items are subject to audit, the applicant should not include in the project budget matching funds (if applicable) in excess of the required match. Budgets are subject to OES modifications and approval.

OES requires the applicant to develop a **line item** budget which will enable the project to meet the intent and requirements of the program, ensure the successful and cost effective implementation of the project. Failure of the applicant to include required items in the budget does not eliminate responsibility to comply with those requirements during the implementation of the project. The applicant should refer to the *Recipient Handbook* at www.oes.ca.gov. Select “*Recipient Handbooks*” for additional information concerning OES budget policy or to determine if specific proposed expenses are allowable. Contact the person listed on page one of this RFA should you have additional budget questions.

1. Budget Narrative

Applicants are required to submit a narrative with the Project Budget. The Budget Narrative must be typed and placed in the application in front of the budget pages. In the narrative identify and describe:

The number of full-time qualifying forensic scientists designated to be served under this program, the duties of the scientists, including any qualifications or education level necessary to the job assignment requiring training/ongoing education for accreditation purposes, and how the training programs identified in the budget will improve the agency’s quality and timeliness of forensic science services over current operations.

The number or estimate of backlogged cases projected to be completed with Coverdell 2007 grant funds.

Identify type of equipment that will be purchased see Section 2300 Equipment for further information.

2. Specific Budget Categories

There is a separate form in the Forms Section (Part III) for each of the following three budget categories:

- Personal Services – Overtime Salary (applicable to backlog)
- Operating Expenses; and
- Equipment.

Each budget category requires line-item detail that addresses the method of calculation and justification for the expense. Enter the amount of each line item in the right hand column of the Budget Category form. All charges must be clearly documented **and rounded off to the nearest whole dollar**. Do not indicate “estimated cost” on any line item. Enter the total amount of the budget category at the bottom of the form. If additional pages are needed, total only the last page of each budget category.

The bottom of the Equipment Category form contains a format for identifying the project total and fund distribution. This section must be completed and submitted even if there are no line items identified in the equipment category.

Please contact the Program Specialist for samples of approved Budget pages, if necessary.

a. Personal Services – Overtime (*Recipient Handbook* Section 2171.61, Form OES A303a):

For the purposes of backlog, this program will allow reimbursement for forensic staff working overtime to prevent and reduce the number of backlogged forensic cases.

b. Operating Expenses (*Recipient Handbook* Section 2200, Form OES A303b):

Operating expenses are defined as necessary expenditures exclusive of personnel salaries, benefits and equipment. Such expenses may include specific items directly charged to the project, and in some cases, an indirect cost allowance. The expenses must be grant-related (e.g., to further the program objectives as defined in the grant award), and be encumbered during the grant period.

The following items fall within this category: consultant services such as subcontractors who are not employed by the applicant, travel, office supplies, training materials, research forms, equipment maintenance, software, equipment rental/lease, telephone expenses, postage, printing, facility rental, vehicle maintenance, answering service fees, and other consumable items. Furniture and office equipment with an acquisition cost of less than \$5,000 per unit (including tax, installation, and freight) and/or with a useful life of less than one year fall within this category.

c. Equipment (*Recipient Handbook* Section 2300, Form OES A303c):

Equipment is defined as nonexpendable tangible personal property having a *useful life of more than one year* and an acquisition cost of \$5,000 or more per unit (including tax, installation, and freight).

A line item is required for each different type of equipment, but not for each specific piece of equipment (e.g., three laser jet printers must be one line item, not three).

Allowable Program Costs:

For the purpose of the Coverdell 2007 Program, only the identified costs listed below will be allowable:

Education & Training Classes: Coverdell funds may be used for appropriate internal and external training/continual education opportunities (travel) as they relate to ASCLD standards (refer to the Coverdell 2003 Program Guidance for a partial listing of training programs). Out-of-state trainings are appropriate use of the Coverdell funds providing an Out-Of-State Travel Request Form (OES 700) is completed with justification for the travel.

Audit Costs: Projects must budget audit costs up to a certain amount (*Recipient Handbook* Sections 8150 through 8154).

Travel & Per Diem: Applicants may prepare the budget using their own travel policy or the state travel policy guidelines.

Non-Competitive Bid Request: (aka Sole Source) Projects seeking to procure a service provider for internal laboratory training needs should refer to the *Recipient Handbook* Section 3500 for details.

Personal (OES A303a): Coverdell funds may be used to pay for over time salaries to prevent and/or reduce the backlog of forensic cases.

Equipment (OES A303c): The Coverdell 2007 Program will be authorizing funds for Equipment. Please see Coverdell 2003 Program Guidance for specific permissible types of expenses.

C. APPLICATION APPENDIX

The Application Appendix provides OES with additional information from the applicant to support components of the application. The following must be included:

- Project's current/proposed ASCLD/Lab accreditation status;
- Project Contact Information;
- Additional Signature Authorization (if applicable);
- Out of State Travel Request; OES 700, Appendix S, (if applicable);
- Non-Competitive Bid Request (if applicable); and
- Operational Agreement

PAUL COVERDELL FORENSIC SCIENCES IMPROVEMENT (FSIA) PROGRAM REQUEST FOR APPLICATION

PART III – ADDITIONAL INFORMATION

The applicant is strongly encouraged to review the following sections in preparing the application.

- A. Finalizing the Grant Award Agreement
- B. Administrative Requirements
- C. Budget Policy
- D. Glossary of Terms

A. FINALIZING THE GRANT AWARD AGREEMENT

1. Standard Project Funding Authority

Allocation of funds is contingent on the enactment of the State Budget. OES does not have the authority to disburse funds until the budget is passed and the Grant Award Agreement is fully executed. Expenditures incurred prior to authorization are made at the project's own risk and may be disallowed. When the executed grant is received, and the State Budget is finalized, authorized expenditure reports may be submitted for reimbursement of expenditures incurred subsequent to the effective date of the grant award agreement.

If, during the term of the grant award, the state and/or federal funds appropriated for the purposes of the grant award are reduced or eliminated by the California Legislature or the United States Government, or in the event revenues are not collected at the level appropriated, OES may immediately terminate or reduce the grant award by written notice to the recipient. However, no such termination or reduction shall apply to allowable costs already incurred by the recipient to the extent state or federal funds are available for payment of such costs.

OES Grant Award Agreements are subject to applicable restrictions, limitations, or conditions enacted by the California Legislature and/or the United States Government, subsequent to execution of the Grant Award Agreement.

2. Processing Grant Awards

a. Grant Award Conditions

OES may add one or more grant award conditions to the Grant Award Agreement prior to or after funding. If conditions are added, they will be discussed with the applicant and a copy of the conditions will be sent to the grant recipient when the conditions are made part of the Grant Award Agreement. Grant award conditions may include requirements for sole source justification, a computer feasibility study, or other requirements deemed necessary by OES.

b. Grant Award Agreements

A copy of the executed Grant Award Agreement and pertinent attachments will be sent to the Project Director. The recipient is not authorized to incur costs against the grant until a copy of the fully executed Grant Award Agreement is received. When the

executed grant is received and the State Budget is finalized, the Report of Expenditures and Request for Funds (OES 201) may be submitted for reimbursement.

c. Grant Award Amounts

When the amount of funds available is limited, OES may reduce the amount of the grant award from the amount requested by the applicant. In addition, OES reserves the right to negotiate budgetary changes with the applicant prior to executing the Grant Award Agreement. If either of these actions is required, OES will notify the applicant prior to executing the Grant Award Agreement.

B. ADMINISTRATIVE REQUIREMENTS

The Recipient Handbook (RH)

The *Recipient Handbook* is accessible on the OES Internet website at www.oes.ca.gov by selecting “*Recipient Handbooks*.” The *Recipient Handbook* contains administrative information and requirements necessary to implement the project. Recipients must administer their grants in accordance with the *Recipient Handbook* requirements. Failure to comply with these requirements can result in the withholding or termination of the grant award.

The information below may be cross referenced with the *Recipient Handbook* (RH) by referencing the handbook section number.

1. Internet Access (RH 11500)

Funded projects are required to maintain Internet access with an established e-mail address. Grant funds may be used for this purpose unless specifically prohibited by the terms of the program.

2. Progress Reports and Data Collection (RH 10100)

Funded projects are required to participate in data collection and to submit progress reports required by the program. Projects are required to keep accurate records to document the information reported in the progress reports. The records must be kept by the project for a period of three years. During site/monitoring visits, OES will review these records for accuracy and compare them with the reported data submitted on the progress reports.

3. Monthly/Quarterly Report of Expenditures and Request for Funds (OES 201) (RH 6300)

Community-based organizations shall submit a monthly Report of Expenditures and Request for Funds (OES 201) unless they request a quarterly reporting period. Government and education agencies receiving funds will be required to report on a quarterly basis. This form is due within 30 calendar days of the end of the reporting period and must be submitted whether or not the project has incurred expenses. Delays in submitting the form OES 201 will result in the withholding of funds and may result in the recommendation to OES' Executive Director for termination of the grant award.

4. Technical Assistance/Site Visits (RH 10300)

Funding projects are assigned an OES program specialist to oversee the progress of the project in achieving its goals, objectives and compliance with the Grant Award Agreement.

Program specialists are available to assist the project in the successful implementation of the project and in meeting the administrative requirements of the Grant Award Agreement. New projects should expect a site visit from the assigned program specialist within the first six months of the grant period. Follow-up site visits will be conducted periodically throughout the life of the grant. Projects may request a site visit to obtain technical assistance.

5. Monitoring Requirements (RH 10400)

A monitoring visit is an onsite assessment by OES staff to determine if the project is in compliance with the terms of the program, the Grant Award Agreement, the Program Guidelines, the RFA/RFP, and the *Recipient Handbook*. Projects will be monitored on a random or as-needed basis.

6. Bonding Requirements (RH 2160)

Private community-based organizations (CBO) and American Indian organizations are required to obtain and send to OES a notarized copy of a blanket fidelity bond or equivalent insurance contract applicable to officials and employees of OES-funded projects within 60 days of the signed Grant Award Agreement. Failure to comply with this requirement may result in the withholding of grant funds or termination of the Grant Award Agreement. The beneficiary named on the bond or an endorsement must include the "State of California, Governor's Office of Emergency Services" and include the Grant Award number for identification purposes.

The time period covered by the bond must include the effective date and time period of the grant, including extensions. The bond must be in an amount equal to 50 percent (50%) of the total grant award and may have a deductible in an amount not to exceed one percent (1%) of the bond.

A bond is not required of a recipient sponsored by units of government. CBOs sponsored by units of government may submit documentation indicating this in lieu of the bond or insurance contract, unless specifically required terms of the program or grant award conditions.

7. Audit Requirements (RH 8100)

Recipients must arrange for an independent audit of the grant award and may budget a portion of the audit costs. Instructions for budgeting funds for audit costs are outlined in the *RH* Section 2234.

8. Copyrights, Rights in Data, and Patents (RH 5300)

OES owns rights of and reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, and use, in whole or in part, material produced by activities supported by a Grant Award Agreement. These ownership rights are detailed in the *Recipient Handbook*.

9. Source Documentation (RH 10111)

Recipients are required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities and achievements as pertaining to the objectives outlined in the Grant Award Agreement. Recipients are to retain source documentation for progress reports on a quarterly basis regardless of submission requirements. Requirements and

definitions for program specific source documentation are delineated in the terms of the program. Recipients will be required to have written job descriptions on file for positions funded by OES detailing specific grant-related activities to achieve project objectives.

C. BUDGET POLICY

This document summarizes information on OES Budget Policy contained in the *Recipient Handbook*. Additional information may be obtained by accessing the *Recipient Handbook* at www.oes.ca.gov by selecting “*Recipient Handbooks*.”

1. Supplanting Prohibited (RH 1313)

Grant funds must be used to supplement existing funds for program activities and **not replace** funds appropriated for the same purpose. A written certification must be provided to OES indicating the grant funds will not be used to supplant existing funds. Supplanting will be the subject of application review, post-award monitoring, and audit. The rules on supplanting are found in Section 1313 of the *Recipient Handbook*.

2. Project Income (RH 6610)

Project income such as client fees and fees for services provided by the project (i.e., training, presentations, etc.), asset forfeitures, profits from the sale of project products, and conference proceeds as the result of a direct trade of time or products for money, must be used to offset or augment the grant unless otherwise specified in the RFA instructions. Project income cannot be used as matching funds unless otherwise specified in the RFA instructions.

3. Contracts and Procurement (RH 3400)

A competitive bid process is required to purchase equipment or consultant services with grant funds. Noncompetitive bid contracts are disfavored. Noncompetitive bid request approval by OES program staff is required prior to the purchase of equipment in excess of \$5,000, or to hire a specific consultant charging over \$5,000. Local units of government may use their approved procurement policy except for contracts over \$50,000, which requires prior OES approval. For organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from different vendors. Whenever a specific individual/organization name is identified in the project budget, a noncompetitive bid request will be required. OES will provide assistance in submitting a noncompetitive bid request if OES determines it is in the best interest of the project. These procedures do not apply to funds shared with participating agencies under the terms of an Operational Agreement (see Section 4500, *Recipient Handbook*).

4. Match Policies (RH 6500)

The RFA Instructions (Part II) may specify a cash or in-kind match. When used to augment the project, expenditures for items such as Personal Services, Operating Expenses, or Equipment are considered match if not in violation of the prohibition on supplanting. Match specified in the budget will become part of the grant award. (Specific instructions for calculating the match are provided in Sections 6550 – 6550.2 of the *Recipient Handbook*.)

5. **Travel Policies**

The following is OES' current travel policy:

a. **Selection of Travel Policy (RH 2236)**

The applicant may prepare the budget using its own travel policy or the state travel policy according to the following guidelines. Travel reimbursement will only be allowed based on actual costs.

1) Units of Government

Units of government may use their own written travel policy or the state policy.

2) Community-Based Organizations (CBO)

A community-based organization may use the state travel policy or the applicant's written policy up to the maximum rates allowed by the state travel policy.

b. **State Travel Policy (RH 2236.2)**

Use the following state travel policy for budgeting travel expenses:

1) Out-of-State Travel

Out-of-state travel is restricted and only allowed in exceptional situations. Requests for approval for out-of-state travel must be submitted for OES approval.

2) Mileage

When a privately owned vehicle is utilized on project-related business, a maximum of 48.5 cents per mile is allowed, unless a higher rate is justified. Documentation justifying a higher rate must be on file and available for audit, but should not be submitted with the application.

3) Meals and Incidentals

a) Breakfast \$6.00

Breakfast may be claimed when travel commences at or prior to 6:00 a.m. Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 8:00 a.m.

b) Lunch \$10.00

Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.

c) Dinner \$18.00

Dinner may be claimed if the trip begins at or before 4:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

d) Incidentals \$6.00

Incidentals may be claimed for trips of 24 hours or more.

e) Total Per Diem

Total is \$40.00 for a 24-hour period.

4) Lodging

The maximum allowed lodging rate is \$84.00, plus applicable taxes (except as noted below). Lodging receipts are required for reimbursement.

5) Special Lodging Rates

The maximum allowed lodging rate in Los Angeles and San Diego counties is \$110, plus applicable taxes. The maximum for Alameda, San Francisco, San Mateo, and Santa Clara counties is \$140, plus applicable taxes.

6) Other

Taxi, airport shuttle, etc. which exceed \$3.50 must be supported by receipt. Parking in excess of \$10.00 must be supported by receipt.

6. Participating Staff

The term “participating staff” refers to salaried employees of a participating agency assigned to work with the recipient on the implementation of project. The agreement between the recipient and the participating agency concerning participating staff must be reflected in the OA. Grant related costs associated with participating staff must be itemized in the operating expenses category of the grant budgets.

7. Consultant Services (RH 3710)

Consultant services are provided on a contractual basis by individuals or organizations not direct employees of the applicant (see *Personal Services – Salaries*). Independent contractors must not be used in lieu of employees. Independent contractors are defined as individuals or organizations meeting some or all of the following criteria:

- produce a specific product or service;
- work independently without direct supervision from the applicant;
- work on specific projects;
- provide services for a limited number of hours or period of time; and/or,
- have no agency management or oversight responsibilities directed toward the financial success or direction of the agency.

a. Rates

The maximum rate for independent contractors is \$250 per hour (excluding travel and subsistence costs). A request for compensation for over \$250 per hour requires **prior approval** and additional justification.

1) Independent Contractors Employed by State and Local Government

Compensation for independent contractors will be allowed when the unit of government can not provide services without this cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.

b. Expert Witness Fees (RH 3710.2)

Projects, which routinely utilize “expert witnesses” as independent contractors to conduct evaluations and provide expert testimony in the courtroom, may budget for this expense. However, the project may only be charged for costs above what the jurisdiction is required to cover. The maximum allowable rate for witness fees is \$250 per hour up to \$2,000 per day. The total amount budgeted for expert witness fees must not exceed ten percent (10%) of the project’s total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:

- qualifications, training, and experience of the expert(s). Include a statement regarding recognition by the court of the individual as an expert;
- specialized certification/licensure [e.g., Masters in Social Work (MSW); Licensed Clinical Social Worker (LCSW), Marriage and Family Therapist (MFT), Medical Doctor (MD)];
- rate of pay per hour, including documentation of a survey of the availability of similar consultants, the current “going rate,” and the proposed rate of pay with a cost breakdown if expert is paid according to services (e.g., mileage, waiting time, court testimony);
- proposed services to be provided (e.g., analysis of forensic evidence, psychological evaluation);
- justification for why this cost cannot be paid with county funds (attach the justification to OES A303b).

8. Facility Rental (RH 2232)

Up to \$21 per square foot annually (\$1.75 per square foot per month) is allowed for facility rental. If the rental cost for office space exceeds this rate, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit and should not be submitted with the application.

a. Rental Space for Training and Counseling Rooms

Rental space for training and individual and/or group counseling rooms may also be charged to the grant providing the charge is based on actual costs and not reimbursed by other source.

9. Rented or Leased Equipment (RH 2233)

An explanation and cost analysis is required when equipment rented or leased. This analysis must demonstrate it is more cost-effective to rent or lease the equipment than it is to purchase it, and must be approved by OES prior to the execution of a rental or lease agreement.

10. Indirect Costs/Administrative Overhead (RH 2220)

Indirect costs are those not readily itemized or assignable to a particular project, but necessary to the operation of the organization and the performance of the project. The costs of operating and maintaining facilities, accounting services, and administrative salaries are examples of indirect costs. Flat rates not exceeding ten percent (10%) of personnel salaries (excluding benefits and overtime) or five percent (5%) of total direct project costs (excluding equipment) may be budgeted by the applicant for indirect costs if allowable by the funding source.

11. Audits (RH 8150)

OES projects expending \$25,000 or more of OES grant awards are required to complete and audit. The project may budget for the cost of obtaining a financial audit. Allowable audit costs are as follows:

- if the total amount of the grant is less than or equal to \$150,000, the project may budget up to \$2,000 for the financial audit cost; or
- if the total amount of the grant is greater than \$150,000, the project may budget up to one and a half percent (1.5%) of the total grant for financial audit costs.

12. Equipment (RH 2300)

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit (including tax, installation and freight).

A line item is required for each different type of equipment, but not for each specific piece of equipment (e.g., three laser jet printers should be one line item, not three).

a. Allowable Expenses

Equipment may be budgeted if it is essential to the implementation of the project and to be used solely for project activities. Grant funds may not be used to reimburse the project for equipment already purchased.

Rented or leased equipment must be budgeted as an Operating Expense. Lease-to-purchase agreements are generally not allowable. If a lease-to-purchase is requested, the project will be required to submit justification, including cost-effectiveness. Prior approval by OES is required.

b. Computers (RH 2340)**1) Community-Based Organization (RH 2242.1)**

Community-based organization may budget up to \$25,000 in computer equipment, software, and related costs. OES will evaluate the proposed purchase on the basis of grant-related need. Prior approval by OES is required. The Recipient will be sent instructions for preparing the justification.

2) Units of Government (RH 2342.2)

Units of government may budget for computer equipment, software, and related costs. OES will evaluate the proposed purchase on the basis of grant-related need. OES must give approval prior to purchase. If federal grant funds totaling in excess of \$100,000 are used for automated data processing purchases, prior federal approval is also required. The Recipient will be sent instructions for preparing the justification.

3) Computer Purchase Justification (RH 2341)

Approval for purchases of computers and automated equipment is contingent on the applicant's ability to demonstrate cost-effective, project-related need which is best demonstrated by clearly relating each computer system or component to the grant objectives and activities. The Recipient will be sent instructions for preparing the justification.

c. Automobiles (RH 2331)

Automobiles are not allowable items unless permitted by the terms of the program. If an automobile is included in the budget, substantial justification demonstrating the grant-related need will be required before finalization of the Grant Award Agreement. The justification must describe the need for the automobile, including the size of service area, the need to provide direct service away from the office, and the reason why the agency will not allow personal automobiles usage during work hours. A cost analysis for automobile purchase as compared to other options including lease and personal automobile use and mileage, must be done and kept on file for review by OES's program staff during a site visit, monitoring visit, and/or audit.

13. Prohibited Expense Items (RH 2240)**a. Lobbying (RH 2242)**

Refer to RH 2242.1 for an extensive list of prohibited activities.

b. Fundraising (RH 2243)

OES grant funds cannot be used for organized fundraising including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.

c. Real Property and Improvements (RH 2244)

Real property including land, land improvements, structures and their attachments, and structural improvements and alterations are not allowable expenditures unless authorized in the RFA instructions.

d. Interest (*RH 2245*)

The cost of interest payments is not an allowable expenditure unless the cost is a result of a lease/purchase agreement.

e. Food and Beverages (*RH 2246*)

The cost of food and/or beverages at grant-sponsored conferences, meetings, or office functions is not an allowable expenditure.

f. Weapons and Ammunition (*RH 2247*)

The cost of weapons and/or ammunition of any type are not an allowable expenditures unless they are part of a governmental negotiated benefit package or are specifically authorized in the RFA instructions.

g. Membership Dues (*RH 2248*)

The cost of membership dues for the licensing or credentialing of professional personnel is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFA instructions.

h. Professional License (*RH 2248*)

The cost of a professional license is not an allowable expenditure unless specifically authorized in the RFA instructions.

i. Annual Professional Dues or Fees (*RH 2248*)

The cost of professional dues or fees are not allowable expenditures unless it is part of a governmental negotiated benefit package or are specifically authorized in the RFA instructions.

j. Charges, Fees and Penalties (*RH 2245*)

Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.

k. Depreciation (*RH 2249*)

Equipment costs may not include additional costs calculated for depreciation.

GLOSSARY OF TERMS

Term	Definition
Activity	The specific steps or action a project takes to achieve a measurable objective.
Application	Once selected for funding, the original proposal and additional forms as required by OES becomes the application. This application, once signed by the OES director or designee and the local government agency or organization authorized to accept grant funding, becomes the Grant Award/Grant Award Agreement.
Community-Based Organization (CBO)	A documented, tax exempt, nonprofit, public benefit corporation serving the community. This term is used synonymously with nonprofit organization.
Equal Employment Opportunity Plan (EEOP)	A comprehensive plan analyzing the agency's workforce and all agency employment practices to determine their impact on the basis of ethnicity and gender.
EEOP Guidelines	Extensive description of state and federal civil rights requirements and what constitutes an EEOP (samples, forms, etc.). The document was prepared to assist recipients in ensuring nondiscrimination and in the development, implementation, and/or improvement of their EEOP for compliance with the law.
Grant Award/Grant Award Agreement	The signed agreement between OES and the local government agency or organization authorized to accept grant funding.
Grant Award Forms	The forms needed to prepare an application or proposal. They may be accessed on the OES website under "Forms" (FORMS).
Grant Funding Cycle	The number of years a program may be funded without soliciting a new competitive Request for Proposal. A funding cycle is typically three years.
Grant Funding Period	The period of time, determined by the Request for Proposal (RFP) or the Request for Application (RFA) which the project narrative, objectives, activities, and budget cover. The time period is usually one year, and is shown on the Grant Award Face Sheet (OES A301).
Implementing Agency	The agency or organization designated on the Grant Award Face Sheet responsible for the day-to-day operation of the project (e.g., probation department, district attorney, sheriff).
Noncompetitive Bid Contract	A contract for goods or services, where only a single source that can provide the services or goods is afforded the opportunity to offer a price for the specified services or goods. (Contracts sometimes include goods as well as services, and this definition will also apply to those circumstances.)
Nonprofit Organization	A documented, tax exempt, nonprofit, public benefit corporation serving the community. The term is used synonymously with CBO.
Objectives	A set of quantifiable projections to be carried out in order to accomplish the program goals.

Term	Definition
Operational Agreement (OA)	A formal agreement between two agencies which specifies the responsibilities of each agency in implementing the project, including the transfer of grant funds when appropriate. This includes MOUs, Letters of Intent, etc.
Participating Agency	An organization that receives grant funds through an Operational Agreement to participate in achieving the goals of a project. The participating agency must be a unit of government or a community-based organization.
Program	A specific set of goals and objectives established pursuant to legislative, congressional, or administrative action identifying an unmet need of law enforcement or victim services and supported by an appropriation from state or federal funding sources.
Program Guidelines	The instructions concerning the programmatic and administrative requirements unique to a particular OES grant-funded program.
Project	The implementation of a program's goals and objectives by a funded state or local government agency or CBO.
Proposal	The packet of information and forms required by the RFP and submitted to OES which specifies the priorities, strategies and objectives of the applicant.
Recipient	The agency or organization designated on the Grant Award Face Sheet which receives the grant funds and who will be responsible for accomplishing the planned objectives and program goals (e.g., County of Alameda, City of Fresno, State Department of Justice, Fairfield Youth Services Bureau).
Recipient Handbook	This handbook outlines the administrative and fiscal terms and conditions required of grant projects. Funded projects must administer their grants in accordance with these conditions. The <i>Recipient Handbook</i> is accessible on the OES website at www.oes.ca.gov by selecting "Recipient Handbooks."
Request for Application (RFA)	The RFA is a packet of instructions and forms issued by OES to obtain applications from applicants through a noncompetitive process.
Request for Proposal (RFP)	The RFP is a packet of instructions and forms issued by OES to solicit competitive proposals in order to select projects for funding.
Supplanting	Supplanting is the deliberate reduction of federal, state, or local funds due to the existence of OES funds thereby reducing the total amount available for the stated purpose.
Terms of the Program	The applicable Program Guidelines, application requests [Request for Proposal (RFP)/Request for Application (RFA)], grant award agreement, OES policy statements, and applicable statutes. In the event the terms of the program are inconsistent with the provisions of this handbook, the terms of the program shall be interpreted and construed as superseding the provisions of this handbook.